

**U.S. District Court
California Northern District (San Francisco)
CIVIL DOCKET FOR CASE #: 3:16-cv-04883-WHA**

Bloom et al v. Goldman, Sachs & Co. et al
Assigned to: Hon. William Alsup
Lead case: 3:16-cv-02265-WHA
Member case:
3:16-cv-04883-WHA

Date Filed: 08/24/2016
Date Terminated: 09/21/2016
Jury Demand: Plaintiff
Nature of Suit: 850 Securities/Commodities
Jurisdiction: Federal Question

Case in other court: Superior Court of California, County of San Mateo,
16CIV00884

Cause: 15:77 Securities Fraud

Plaintiff

Charles Bloom

represented by **John T Jasnoch**
Scott + Scott Attorneys at Law LLP
707 Broadway
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619-233-4565
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LEAD ATTORNEY
ATTORNEY TO BE NOTICED

Plaintiff

Sharon Burnstein

represented by **John T Jasnoch**
(See above for address)
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V.

Defendant

Goldman, Sachs & Co.

represented by **Patrick David Robbins**
Shearman & Sterling LLP
535 Mission Street, 25th Floor
San Francisco, CA 94105
415-616-1100
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Email: probbins@shearman.com
ATTORNEY TO BE NOTICED

Defendant

J.P. Morgan Securities LLC

represented by **Patrick David Robbins**
(See above for address)
ATTORNEY TO BE NOTICED

Defendant

Morgan Stanley & Co. LLCrepresented by **Patrick David Robbins**
(See above for address)
*ATTORNEY TO BE NOTICED***Defendant****Merrill Lynch, Pierce, Fenner & Smith
Incorporated**represented by **Patrick David Robbins**
(See above for address)
*ATTORNEY TO BE NOTICED***Defendant****Deutsche Bank Securities Inc.**represented by **Patrick David Robbins**
(See above for address)
*ATTORNEY TO BE NOTICED***Defendant****Macquarie Capital (USA), Inc.**represented by **Patrick David Robbins**
(See above for address)
*ATTORNEY TO BE NOTICED***Defendant****MCS Capital Markets LLC**represented by **Patrick David Robbins**
(See above for address)
ATTORNEY TO BE NOTICED

Date Filed	#	Docket Text
08/24/2016	<u>1</u>	NOTICE OF REMOVAL from Superior Court of California, County of San Mateo. Their case number is 16CIV00884. (Filing fee \$400 receipt number 0971-10715307). Filed byMerrill Lynch, Pierce, Fenner & Smith Incorporated, Goldman, Sachs & Co., Deutsche Bank Securities Inc., MCS Capital Markets LLC, Macquarie Capital (USA), Inc., J.P. Morgan Securities LLC, Morgan Stanley & Co. LLC. (Attachments: # <u>1</u> Exhibit 1, # <u>2</u> Exhibit 2, # <u>3</u> Exhibit 3, # <u>4</u> Civil Cover Sheet)(Robbins, Patrick) (Filed on 8/24/2016) (Entered: 08/24/2016)
08/24/2016	<u>2</u>	Case assigned to Hon. Yvonne Gonzalez Rogers. Counsel for plaintiff or the removing party is responsible for serving the Complaint or Notice of Removal, Summons and the assigned judge's standing orders and all other new case documents upon the opposing parties. For information, visit <i>E-Filing A New Civil Case</i> at http://cand.uscourts.gov/ecf/caseopening . Standing orders can be downloaded from the court's web page at www.cand.uscourts.gov/judges . Upon receipt, the summons will be issued and returned electronically. Counsel is required to send chambers a copy of the initiating documents pursuant to L.R. 5-1(e)(7). A scheduling order will be sent by Notice of Electronic Filing (NEF) within two business days. Consent/Declination due by 9/7/2016. (bwS, COURT STAFF) (Filed on 8/24/2016) (Entered: 08/24/2016)
08/24/2016	<u>3</u>	<i>Rule 7.1 Disclosures of Underwriter Defendants</i> by Deutsche Bank Securities Inc., Goldman, Sachs & Co., J.P. Morgan Securities LLC, MCS Capital Markets LLC, Macquarie Capital (USA), Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co. LLC. (Robbins, Patrick) (Filed on 8/24/2016) Modified on 8/25/2016 (cpS, COURT STAFF). (Entered: 08/24/2016)
08/24/2016	<u>4</u>	

		Certificate of Interested Entities by Deutsche Bank Securities Inc., Goldman, Sachs & Co., J.P. Morgan Securities LLC, MCS Capital Markets LLC, Macquarie Capital (USA), Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co. LLC identifying Corporate Parent Macquarie Group Limited for Macquarie Capital (USA), Inc.; Corporate Parent Bank of America Corporation, Other Affiliate NB Holdings Corporation, Other Affiliate BAC North America Holding Company for Merrill Lynch, Pierce, Fenner & Smith Incorporated; Corporate Parent JPMorgan Chase & Co., Other Affiliate Morgan Stanley Domestic Holdings, Inc., Other Affiliate J.P. Morgan Broker-Dealer Holdings Inc. for J.P. Morgan Securities LLC; Corporate Parent KKR & Co. L.P., Other Affiliate Merchant Capital Solutions LLC, Other Affiliate Trident V. L.P., Other Affiliate Trident V Parallel Fund, L.P., Other Affiliate Trident V Professionals Fund, L.P. for MCS Capital Markets LLC; Corporate Parent The Goldman Sachs Group, Inc. for Goldman, Sachs & Co.; Corporate Parent Morgan Stanley, Other Affiliate Mitsubishi UFJ Financial Group, Inc., Other Affiliate Morgan Stanley Capital Management, LLC for Morgan Stanley & Co. LLC; Corporate Parent Deutsche Bank A.G., Other Affiliate DB U.S. Financial Markets Holding Corporation, Other Affiliate DB USA Corporation for Deutsche Bank Securities Inc.. (Robbins, Patrick) (Filed on 8/24/2016) (Entered: 08/24/2016)
08/24/2016	<u>I 5</u>	CERTIFICATE OF SERVICE by Deutsche Bank Securities Inc., Goldman, Sachs & Co., J.P. Morgan Securities LLC, MCS Capital Markets LLC, Macquarie Capital (USA), Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co. LLC re <u>3</u> Statement, <u>1</u> Notice of Removal,, <u>4</u> Certificate of Interested Entities,,,,, (Robbins, Patrick) (Filed on 8/24/2016) (Entered: 08/24/2016)
08/25/2016	<u>I 6</u>	Initial Case Management Scheduling Order with ADR Deadlines: Case Management Statement due by 11/21/2016. Case Management Conference set for 11/28/2016 02:00 PM. (cpS, COURT STAFF) (Filed on 8/25/2016) (Entered: 08/25/2016)
08/25/2016	<u>I 7</u>	CERTIFICATE OF SERVICE by Deutsche Bank Securities Inc., Goldman, Sachs & Co., J.P. Morgan Securities LLC, MCS Capital Markets LLC, Macquarie Capital (USA), Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co. LLC re <u>2</u> Case Assigned by Intake,,, <u>6</u> Initial Case Management Scheduling Order with ADR Deadlines (Robbins, Patrick) (Filed on 8/25/2016) (Entered: 08/25/2016)
09/08/2016	<u>I 8</u>	ORDER RELATING CASES. Signed by Judge Alsup on 9/7/2016. (whalc2, COURT STAFF) (Filed on 9/8/2016) (Entered: 09/08/2016)
09/08/2016	<u>I</u>	Case Reassigned to Judge Hon. William Alsup. Judge Hon. Yvonne Gonzalez Rogers no longer assigned to the case. (as, COURT STAFF) (Filed on 9/8/2016) (Entered: 09/08/2016)
09/09/2016	<u>I 9</u>	REQUEST FOR RESPONSE REGARDING COORDINATION OF CASES. Signed by Judge Alsup on 9/9/2016. (whalc2, COURT STAFF) (Filed on 9/9/2016) (Entered: 09/09/2016)
09/13/2016	<u>I 10</u>	RESPONSE to re <u>9</u> Order by Charles Bloom, Sharon Burnstein. (Jasnoch, John) (Filed on 9/13/2016) (Entered: 09/13/2016)
09/13/2016	<u>I 11</u>	RESPONSE to re <u>9</u> Order by Deutsche Bank Securities Inc., Goldman, Sachs & Co., J.P. Morgan Securities LLC, MCS Capital Markets LLC, Macquarie Capital (USA), Inc., Merrill Lynch, Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co. LLC. (Robbins, Patrick) (Filed on 9/13/2016) (Entered: 09/13/2016)
09/19/2016	<u>I 12</u>	ORDER REQUESTING RESPONSE REGARDING CONSOLIDATION OF BLOOM ACTIONS. Signed by Judge Alsup on 9/19/2016. (whalc2, COURT STAFF) (Filed on 9/19/2016) (Entered: 09/19/2016)
09/21/2016	<u>I 13</u>	STIPULATION WITH PROPOSED ORDER re <u>12</u> Order <i>Stipulation of Parties and [Proposed] Order Consolidating Cases</i> filed by Deutsche Bank Securities Inc., Goldman, Sachs & Co., J.P. Morgan Securities LLC, MCS Capital Markets LLC, Macquarie Capital (USA), Inc., Merrill Lynch,

Pierce, Fenner & Smith Incorporated, Morgan Stanley & Co. LLC. (Robbins, Patrick) (Filed on 9/21/2016) (Entered: 09/21/2016)

09/21/2016	<u>I</u> <u>14</u>	ORDER GRANTING (79) STIPULATION CONSOLIDATING CASES. Associated Cases: 3:16-cv-02265-WHA, 3:16-cv-04883-WHA(whalc2, COURT STAFF) (Filed on 9/21/2016) (Entered: 09/21/2016)
09/21/2016	<u>I</u> <u>15</u>	ORDER TRANSFERRING BLOOM ACTIONS. Signed by Judge Alsup on 9/21/2016. (whalc2, COURT STAFF) (Filed on 9/21/2016) (Entered: 09/21/2016)
09/23/2016	<u>I</u>	The United States District Court for the Southern District of New York shall receive the contact information from this court via e-mail/telephone transfer. Re <u>15</u> Order (aaaS, COURT STAFF) (Filed on 9/21/2016) (Entered: 09/23/2016)